



31-07

APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		1. Agency Address	FOR RECORDS MANAGEMENT USE	
Application Date		Department of Banking and Finance Bank Supervision Division 148 International Boulevard, N.E. Suite 640 Atlanta, Georgia 30303	Application Number 17-A	
Application Number			Date Received NOV 8 1979	Date Completed DEC - 7 1979
2. Person to Contact Reece V. Morris		Working Title Administrative Director	Telephone Number 656-2050	
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. <u>17</u> Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void				
4. Dates of Series Earliest _____ Latest _____		5. Records Series Title (followed by title used in office, if different) BANK LIQUIDATION/CONVERSION FILES		
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Bank Supervision Division is responsible for regulating State-chartered financial institutions, including banks, international banking agencies, fiduciary investment companies, and business development corporations operating within the State. The Division supervises the general corporate activity of these institutions to assure compliance with laws and regulations; processes and acts on applications from financial institutions for new charters, expansions and relocations; reviews examination reports and follows up with corrective action where indicated; and coordinates and resolves consumer complaints.				
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: the voluntary and involuntary liquidation of chartered and certified banks and to the conversion and registration of private banks. Included are: investigation reports, correspondence, and copies of charter information. File is arranged: alphabetically by location of institution at time of liquidation or conversion.				
8. Monthly Reference Rate How often are records referred to which are: One to six months old _____; Seven to twelve months old _____; Thirteen to twenty-four months old _____; twenty-five months and older _____?				
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) _____				

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
N/A		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

a. State Law	0	years.	d. Audit period	0	years.
b. Statute of limitation	0	years.	e. Administrative need	3	years.
c. Federal law	0	years.	f. Federal retention instructions	0	years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

Retention period is being cut down from ten years, based on the fact that there is little reference to the file once liquidation/conversion is completed.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area, hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

When liquidation or conversion is completed, remove from active file and place in inactive file; cut off inactive file at end of each calendar year; then transfer to State Records Center; hold 3 years; then destroy.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
See Attached Letter		M. Hae	11-8-79

State Records Committee (Signature)	Date
State Auditor/Designee	11-27-79
Secretary of State/Designee	11-27-79
Attorney General/Designee	12-6-79

Recommendations in paragraph 12 are approved.
(If disapproved, attach letter of explanation.)



Department of Banking and Finance

148 International Blvd. N.E.

Suite 640

Atlanta, Georgia 30303

E. D. "JACK" DUNN
COMMISSIONER

ROBERT M. MOLER
DEPUTY COMMISSIONER

November 5, 1979

Ms. Mary Hall
Head, Scheduling Section
Records Management Division
330 Capitol Avenue
Atlanta, Georgia 30334

Dear Ms. Hall:

Please amend our Records Disposition Standard for: Appl. No. 17
Bank Liquidation Files (Page 100, Publication No. 79-RM-5) by
deleting the following, "hold in current files area 10 years; then
destroy" and inserting in lieu thereof the following "then transfer
to State Records Center; hold 3 years; then destroy.

Your cooperation with this change will be greatly appreciated.

Sincerely,

A handwritten signature in cursive script, reading "Reece V. Morris", is written over the typed name.

Reece V. Morris
Administrative Director

RVM:je



STATE
OF
GEORGIA

Application for
RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE
DEPARTMENT OF ARCHIVES & HISTORY
RECORDS MANAGEMENT DIVISION

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1. Application Date SEP 3 1971		INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.		FOR RECORDS MANAGEMENT DIVISION USE Date Received Application No. Date Completed SEP 10 1971/7 SEP 23 1971	
2. Agency Application No. 2-BK		3. AGENCY, Division, Subdivision & Administering Office Address Department of Banking 122 State Capitol Atlanta, Georgia 30334		4. Person to Contact W.M. Jackson	
				5. Working Title Supt. of Banks	6. Tel. No. 656-2050
7. ACTION REQUESTED <input checked="" type="checkbox"/> ESTABLISH DISPOSITION STANDARD; RECORD WILL CONTINUE TO ACCUMULATE. <input type="checkbox"/> DISPOSE OF PRESENT ACCUMULATION; NO FURTHER ACCUMULATION ANTICIPATED.					
8. Inclusive Dates 1920 to Date		9. EXACT SERIES TITLE LIQUIDATION BANK LIQUIDATION FILES Private and Liquidated Banks			
10. What function performed resulted in creation of this series Conversion and Registration of Private Banks, Liquidation of Banks-both voluntary and involuntary. <i>... ..</i> <i>...</i>					
11. DESCRIPTION OF SERIES - Include Form No. & Form Title, if any Correspondence, Audits, Court Records, Report of Examination.					
12. EQUIPMENT OCCUPIED		No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	
Letter-size File Drawers		17-8-2	138	Nominal	
Legal-size File Drawers		69	138	Nominal	
				In Office(s)	
				None	
				In Storage Area(s)	
				126	
				By Annual Accumulation	
				This Year's Last Year's Preceding Year's All Prior Years'	
				AVERAGE DAILY REFERENCES	
				2-3 times Daily Rarely	

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

YES NO

13. Is this the Record Copy of the series? ☒ []
14. Is there a duplication of this series in another office or agency? ☐ ☒
15. Is the information contained in this series ever summarized or published? ☐ ☒
16. Does the series contain classified information requiring security handling? ☒ ☐
17. Does the series document policies and procedures of agency's operation or function? ☐ ☒
18. Could the function be performed if the files were lost or destroyed? ☐ ☒
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ ☒
20. Does the record series provide data as input to an EDP file? ☐ ☒
21. Does the record series contain documentation produced as EDP printout? ☐ ☒
22. Is the series affected by Federal or grant funds? ☒ ☐
23. Will there be a need for these records 10, 15 years from now? If yes, what? ☒ ☐
Yes, only as to any liquidations which might remain open, afterwards no, except to provide reference to future inquiries.

24. REQUIREMENTS. The following requires the files to be kept NONE years:

- a. ☐ STATE LAW b. ☐ STATUTE OF LIMITATION c. ☐ AUDIT PERIOD d. ☐ FEDERAL LAW e. ☐ ADMINISTRATIVE DECISION f. ☐ HISTORICAL VALUE
 (Cite Law, Statute, or other reason for the retention requirement)

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each ☐ CALENDAR YEAR ☐ FISCAL YEAR ☒ OTHER When liquidation is completed, then:

A. ☐ Destroy immediately after cut off.

B. ☒ Hold in current files area 10 month(s) / 10 year(s), then:

1 ☒ Destroy.

2 ☐ Transfer to records center; hold year(s), then:

a ☐ Destroy.

b ☐ Transfer historical material to Archives; destroy remainder.

3 ☐ Destroy after audit (or year(s) after audit).

C. ☐ Hold in current files area indefinitely.

D. ☐ Hold in current files area year(s), then transfer to Archives permanently.

E. ☐ Other

(Indicate briefly rationale for recommendations above/or write additional remarks):

(ATTACH SAMPLES OF THE SERIES WHEN POSSIBLE)

Investigator taken by <i>W. M. Jackson</i>	Recommendations prepared by W. M. Jackson	Approved for Division Date W. M. Jackson 9-3-71	Records Management Officer Date <i>Charles M. [Signature]</i>
Recommendations in Paragraph 25 are:	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Head of Agency <i>W. M. Jackson</i>	Date 9-3-71
	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Director, Archives & History <i>Carroll Hart</i>	Date 9-9-71
	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Secretary of State <i>Ben W. Fortson</i>	Date 9-13-71
	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Governor of Georgia <i>Jimmy Carter</i>	Date 9-20-71